

# ABCI Issuing certificates and statement of attainments (SOA) policy and procedure

## Purpose

The purpose of this document is to outline a consistent set of principles under which certificates and statements of attainment are issued at ABCI in accordance with the Australian Qualifications Framework and Standards for Registered Training Organizations (RTOs) 2015.

## Scope

This policy and procedure applies to all ABCI students who meet all course requirements for the issuance of certificate and/or a statement of attainment. The policy does not apply to non-AQF qualifications.

## Responsibility

The RTO Manager is responsible for the implementation and monitoring of this policy and procedure.

## Definitions

**Nationally Recognised Qualifications:** In line with national requirements for consistency in the use of qualification titles, the name of the qualification and its title must confirm to the AQF nomenclature exactly as recorded on the national register [www.training.gov.au](http://www.training.gov.au) (TGA). The TGA code number is to be used with the title of the qualification and the use of the Nationally Recognized Training (NRT) logo. The qualification name is followed by "in" for short courses, Certificates I-IV, Graduate Certificates and Associate Degrees, and "of" for Diplomas, Advanced Diplomas, Graduate Diplomas, Bachelor's Degrees, Master's Degrees and Doctoral Degrees.

**Statement of Attainment (SOA):** Issued in recognition of completed competencies from a training package or unit of study from an accredited course. A Statement of Attainment must include a list of the competencies completed and, if applicable, the AQF qualification partially completed, with the title of the training package or accredited course from which these were drawn. The national code for each competency must also be used. ABCI's provider number from the National Register must be included on all certificates and statements of attainment issued by the Institute. Guidelines for issuing a SOA will be in accordance with the AQF Implementation Handbook.

**Certificate:** An official document that confirms a qualification has been issued to an individual.

## Policy

ABCI will issue AQF certification documentation only to a learner whom it has assessed as meeting the requirements of the training product as specified in the relevant training

product. In pursuant to the policy, the following key considerations will be met for issuing certificates and SOAs.

- All AQF certification documentation issued by ABCI will meet the requirements of Schedule 5 of Standards for RTOs 2015.
- Records of learner AQF certification documentation are maintained by ABCI in accordance with the requirements of Schedule 5 of Standards for RTOs 2015 and are accessible to current and past learners.
- AQF certification documentation is issued to a learner within thirty (30) calendar days from the day the learner being assessed as meeting the requirements of the training product if the training program in which the learner is enrolled is complete and all agreed fees the learner owes to ABCI have been paid.

## Procedure

ABCI will issue certificates or SOAs for each Qualification completed by a student. The certificates or SOAs will only be issued once the student's results have been ratified and entered into the student management system (i.e. RTO Manager) by the VET coordinator.

Student Services Department will go through each step of the Certificate Issuance checklist and requirements of Schedule 5 of SRTOs 2015 (written in contextualised form in Annex 1 of this document) to ensure all requirements are met.

Students who only partially complete a course can apply for a statement of attainment listing the units of competency successfully completed.

The Student Services Officer will ensure all financial obligations have been met.

If a student has outstanding fees that have not been paid, the student will be notified by ABCI's Student Services that they must pay the outstanding fees before the certificates or SOAs can be issued. Graduating students will not be eligible to collect the certificate until all outstanding fees are finalised.

The Student Services Officer is responsible for organising the printing of the certificates or SOA and for a reference number to be recorded in the AQF registry in the Student Records Management System.

The student must provide written authorisation to ABCI Student Services Department if they would like someone other than the student to collect the certificate or SOA. The authorisation letter will be maintained in the student file.

Certificates and SOA can only be collected at ABCI Reception by the student with Valid Student ID or other Photo ID.

Transcripts and SOAs are printed on a copy proof security paper.

Serial number of certificates and transcripts are recorded.

## Reissuing of Certificate or SOA

The student must complete the Certificate Request Form and submit to Student Services Department for reissuance of the certificate. The Student Services Officer will

contact the student and advise them that the certificate or SOA is ready for collection. Additional Fees may applied as per ABCI' Fees Payment and Refund Policy.

### Revocation of Certificates

ABCI may require the graduate to return the certificates, record of results or SOA in the following circumstances:

- In cases where an alleged fraud or dishonesty has been substantiated, ABCI may revoke the qualification and require the return of documentation.
- The certification or the SOA (whichever applies) if evident to the satisfaction of ABCI that the qualification was improperly obtained.
- Due to remedial action been put in place, where it has been identified that Gap training is required to be conducted, the graduate will be contacted and called in to complete the gap training and when that is completed reissuance of the certification will be done after the graduate returns the original documentation.
- When a request for replacement of original certificate, record of results or SOA is submitted due to damage, the graduate is required to return the original documentation prior to the replacement documentation being issued.
- Due to an error, where the certificates, record of results or SOA was presented incorrectly or contained incorrect details, ABCI will request the documentation to be returned.
- If required by the national regulator for vocational education and training (VET) under National Vocational Education and Training Regulator Act 2011 (NVR Act) and the Standards for RTOs 2015.

### Record Keeping and Confidentiality

The Copies of all certificates and SOAs handled under this policy and procedure shall be maintained for a period of at least thirty (30) years in line with ASQA requirements.

#### Annex – 1: Schedule 5 of RTO Standards 2015

Application of the AQF Qualifications Issuance Policy within the VET Sector RTOs must meet the requirements of the AQF for issuing AQF qualifications and statements of attainment, in addition to the following requirements.

##### *A. Issuing AQF Qualifications*

RTOs must include the following information on the certificate, in addition to the requirements of the AQF Qualifications Issuance Policy:

- The name, National RTO Code and logo of the issuing organisation
  - The code and title of the awarded AQF qualification, and
  - The NRT Logo in accordance with the current conditions of use contained in Schedule 4.
2. The following elements are to be included on the certificate as applicable:
- The State/Territory Training Authority logo (only where use of the logo is directed by State/Territory Training Authorities, e.g. within User Choice contracts)
  - The industry descriptor, e.g. Hospitality
  - The occupational or functional stream, in brackets, e.g. (First Aid)

- Where relevant, the words, 'achieved through Australian Apprenticeship arrangements',  
and
  - Where relevant, the words, 'these units have been delivered and assessed in followed by  
a listing of the relevant units.
3. ABCI must not include the learner's Student Identifier on the certificate consistent with the  
Student Identifiers Act 2014.
4. ABCI will:
- retain registers of AQF qualifications authorised to issue  
and of all AQF qualifications issued
  - retain records of AQF certification documentation issued for a period of 30  
years, and
  - provide reports of Records of Qualifications issued to its VET  
Regulator on a regular basis as determined by the VET  
Regulator.

#### *B. Issuing Statements of Attainment (SOA)*

1. ABCI must include the following information on a SOA:
  - The name, National RTO Code and logo of the issuing organisation
  - A list of units of competency showing their full title and the  
national code for each unit of competency
  - The authorised signatory
  - The NRT Logo
  - The issuing organisation's seal, corporate identifier or unique watermark,  
and
  - The words 'A Statement of Attainment is issued by a  
Registered Training Organisation when an individual has  
completed one or more accredited units'.
2. The following elements are to be included on the SOA as applicable:
  - The State/Territory Training Authority logo (only where  
use of the logo is directed by State/Territory Training  
Authorities)
  - The words 'These competencies from part of [code and title of  
qualification(s)/course(s)]
  - The words, 'These competencies were attained in completion of [code]  
course in [full  
title]', and
  - Where relevant, the words, 'these units have been delivered and assessed  
in followed by  
a listing of the relevant units.
3. RTOs must not include the learner's Student Identifier on the SOA consistent with the  
Student Identifier Act 2014.
4. RTOs will:
  - maintain registers of all Qualifications and SOAs issued
  - retain records of Qualifications and SOAs issued for a period of 30 years,  
and

- provide reports of its records of SOAs issued to its VET Regulator on a regular basis, as determined by the VET Regulator.

#### Revision history

Revision	Date	Description of modifications
1.0	Oct 2018	Original
2.0	Nov 2020	Content updated in line with the current process. Standards updated. Name of policy changed.
2.1	Oct 2023	Overall review. Reformatted.